

12-31-01

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PTO/SB/05 (11-00)
Approved for use through 10/31/2002. OMB 0651-0032
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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| | | | |
|---|------------------------|---|----------------|
| UTILITY PATENT APPLICATION TRANSMITTAL <i>(Only for new nonprovisional applications under 37 CFR 1.53(b))</i> | Attorney Docket No. | | 40655.3800 |
| | First Inventor | | Christina Chow |
| | Title | REAL-TIME BROKERAGE ACCOUNT APPLICATION SYSTEM... | |
| | Express Mail Label No. | | EL608992382US |

| | | | |
|---|--|--|--|
| APPLICATION ELEMENTS See MPEP chapter 600 concerning utility patent application contents. | | ADDRESS TO: Assistant Commissioner for Patents Box Patent Application Washington, D.C. 20231 | |
| 1. <input checked="" type="checkbox"/> Fee Transmittal Form (e.g., PTO/SB/17) (Submit an original, and a duplicate for fee processing) | 7. <input type="checkbox"/> CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix) | 12/20/01 JC904 U.S. PTO 10/032588 | |
| 2. <input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. | 8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary) | | |
| 3. <input checked="" type="checkbox"/> Specification [Total Pages 21] (preferred arrangement set forth below) | a. <input type="checkbox"/> Computer Readable Form (CRF) | | |
| - Descriptive title of the invention | b. Specification Sequence Listing on: | | |
| - Cross Reference to Related Applications | i. <input type="checkbox"/> CD-ROM or CD-R (2 copies); or | | |
| - Statement Regarding Fed sponsored R & D | ii. <input type="checkbox"/> paper | | |
| - Reference to sequence listing, a table, or a computer program listing appendix | c. <input type="checkbox"/> Statements verifying identity of above copies | | |
| - Background of the Invention | | | |
| - Brief Summary of the Invention | | | |
| - Brief Description of the Drawings (if filed) | | | |
| - Detailed Description | | ACCOMPANYING APPLICATION PARTS | |
| - Claim(s) | 9. <input type="checkbox"/> Assignment Papers (cover sheet & document(s)) | | |
| - Abstract of the Disclosure | 10. <input type="checkbox"/> 37 CFR 3.73(b) Statement [] Power of Attorney (when there is an assignee) | | |
| 4. <input checked="" type="checkbox"/> Drawing(s) (35 U.S.C. 113) [Total Sheets 12] | 11. <input type="checkbox"/> English Translation Document (if applicable) | | |
| 5. Oath or Declaration [Total Pages] | 12. <input checked="" type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449 [] Copies of IDS Citations | | |
| a. <input type="checkbox"/> Newly executed (original or copy) | 13. <input type="checkbox"/> Preliminary Amendment | | |
| b. <input type="checkbox"/> Copy from a prior application (37 CFR 1.63(d)) (for continuation/divisional with Box 18 completed) | 14. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503) (Should be specifically itemized) | | |
| i. <input type="checkbox"/> DELETION OF INVENTOR(S) Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b). | 15. <input type="checkbox"/> Certified Copy of Priority Document(s) (if foreign priority is claimed) | | |
| 6. <input type="checkbox"/> Application Data Sheet. See 37 CFR 1.76 | 16. <input type="checkbox"/> Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent. | | |
| | 17. <input type="checkbox"/> Other: | | |

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: _____ / _____

Prior application information: Examiner _____ Group / Art Unit _____

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

| | | | | | |
|--|--|-----------|---|----------|--------------|
| 19. CORRESPONDENCE ADDRESS | | | | | |
| <input type="checkbox"/> Customer Number or Bar Code Label | | | or <input checked="" type="checkbox"/> Correspondence address below | | |
| (Insert Customer No. or Attach bar code label here) | | | | | |
| Name | Thomas J. Finn Snell & Wilmer L.L.P. | | | | |
| Address | 400 East Van Buren One Arizona Center | | | | |
| City | Phoenix | State | Arizona | Zip Code | 85004-2202 |
| Country | USA | Telephone | 602/382-6208 | Fax | 602/383-6070 |

| | | | |
|-------------------|-----------------------|-----------------------------------|-------------------|
| Name (Print/Type) | Thomas J. Finn | Registration No. (Attorney/Agent) | 46,066 |
| Signature | <i>Thomas J. Finn</i> | Date | December 20, 2001 |

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT

\$790.00

Complete if Known

| | |
|----------------------|-------------------|
| Application Number | TBA |
| Filing Date | December 20, 2001 |
| First Named Inventor | Christina Chow |
| Examiner Name | TBA |
| Group Art Unit | TBA |
| Attorney Docket No. | 40655.3800 |

METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number **19-2814**
Deposit Account Name **Snell & Wilmer L.L.P.**

- ☒ Charge Any Additional Fee Required Under 37 CFR §§ 1.16 and 1.17

☐ Applicant claims small entity status See 37 CFR § 1.27

2. ☐ Payment Enclosed:

☐ Check ☐ Credit card ☐ Money Order ☐ Other

FEE CALCULATION

1. BASIC FILING FEE

| Large Entity | Small Entity | Fee Code | Fee (\$) | Fee Code | Fee (\$) | Fee Description | Fee Paid |
|--------------|--------------|----------|----------|----------|----------|------------------------|----------|
| 101 | 710 | 201 | 355 | | | Utility filing fee | 710.00 |
| 106 | 320 | 206 | 160 | | | Design filing fee | |
| 107 | 490 | 207 | 245 | | | Plant filing fee | |
| 108 | 710 | 208 | 355 | | | Reissue filing fee | |
| 114 | 150 | 214 | 75 | | | Provisional filing fee | |
| SUBTOTAL (1) | | | | | | | \$710.00 |

2. EXTRA CLAIM FEES

| Extra Claims | | Fee from below | Fee Paid |
|--------------------|--------------|----------------|----------|
| Total Claims | 13 -20** = 0 | X | 0.00 |
| Independent Claims | 4 -3** = 1 | X | 80.00 |
| Multiple Dependent | | | |

| Large Entity | Small Entity | Fee Code | Fee (\$) | Fee Code | Fee (\$) | Fee Description |
|--------------|--------------|----------|----------|----------|----------|--|
| 103 | 18 | 203 | 9 | | | Claims in excess of 20 |
| 102 | 80 | 202 | 40 | | | Independent claims in excess of 3 |
| 104 | 270 | 204 | 135 | | | Multiple dependent claim, if not paid |
| 109 | 80 | 209 | 40 | | | ** Reissue independent claims over original patent |
| 110 | 18 | 210 | 9 | | | ** Reissue claims in excess of 20 and over original patent |

SUBTOTAL (2) \$80.00

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

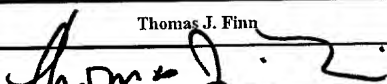
| Large Entity | Small Entity | Fee Code | Fee (\$) | Fee Code | Fee (\$) | Fee Description | Fee Paid |
|--------------|--------------|----------|----------|----------|----------|--|----------|
| 105 | 130 | 205 | 65 | | | Surcharge - late filing fee or oath | |
| 127 | 50 | 227 | 25 | | | Surcharge - late provisional filing fee or cover sheet | |
| 139 | 130 | 139 | 130 | | | Non - English specification | |
| 147 | 2,520 | 147 | 2,520 | | | For filing a request for ex parte reexamination | |
| 112 | 920* | 112 | 920* | | | Requesting publication of SIR prior to Examiner action | |
| 113 | 1,840* | 113 | 1,840* | | | Requesting publication of SIR after Examiner action | |
| 115 | 110 | 215 | 55 | | | Extension for reply within first month | |
| 116 | 390 | 216 | 195 | | | Extension for reply within second month | |
| 117 | 890 | 217 | 445 | | | Extension for reply within third month | |
| 118 | 1,390 | 218 | 695 | | | Extension for reply within fourth month | |
| 128 | 1,890 | 228 | 945 | | | Extension for reply within fifth month | |
| 119 | 310 | 219 | 155 | | | Notice of Appeal | |
| 120 | 310 | 220 | 155 | | | Filing a brief in support of an appeal | |
| 121 | 270 | 221 | 135 | | | Request for oral hearing | |
| 138 | 1,510 | 138 | 1,510 | | | Petition to institute a public use proceeding | |
| 140 | 110 | 240 | 55 | | | Petition to revive - unavoidable | |
| 141 | 1,240 | 241 | 620 | | | Petition to revive - unintentional | |
| 142 | 1,240 | 242 | 620 | | | Utility issue fee (or reissue) | |
| 143 | 440 | 243 | 220 | | | Design issue fee | |
| 144 | 600 | 244 | 300 | | | Plant issue fee | |
| 122 | 130 | 122 | 130 | | | Petitions to the Commissioner | |
| 123 | 50 | 123 | 50 | | | Processing fee under 37 CFR § 1.17(q) | |
| 126 | 180 | 126 | 180 | | | Submission of Information Disclosure Statement | |
| 581 | 40 | 581 | 40 | | | Recording each patent assignment per property (times number of properties) | |
| 146 | 710 | 246 | 355 | | | Filing a submission after final rejection (37 CFR § 1.129(a)) | |
| 149 | 710 | 249 | 355 | | | For each additional invention to be examined (37 CFR § 1.129(b)) | |
| 179 | 710 | 279 | 355 | | | Request for Continued Examination (RCE) | |
| 169 | 900 | 169 | 900 | | | Request for expedited examination of a design application | |

Other fee (specify)

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3)

SUBMITTED BY

Name (Print/Type) **Thomas J. Finn**
Signature 

Registration No.
(Attorney/Agent)

48,066

Complete (if applicable)

Telephone

602/382-6208

Date

December 20, 2001

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

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Snell & Wilmer

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December 20, 2001

VIA EXPRESS MAIL
NO. EL608992382US

Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

Re: US Nonprovisional Patent Application, Chow, et al.
Title: REAL-TIME BROKERAGE ACCOUNT
APPLICATION SYSTEM AND METHOD
Filing Date: December 20, 2001
Our File No.: 40655.3800

Dear Sir or Madam:

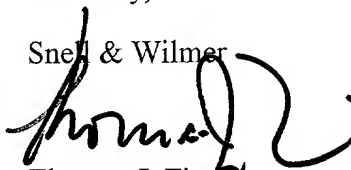
Enclosed are the following documents:

1. Utility Patent Application Transmittal;
2. Fee Transmittal for FY 2001;
3. Return Receipt Postcard (postage prepaid);
4. Real-Time Brokerage Account Application System and Method Specification;
5. Real-Time Brokerage Account Application System and Method Drawings (Figs. 1-12);
6. Information Disclosure Statement; and
7. Information Disclosure Citation (2 backers).

Please process the above application. Thank you.

Sincerely,

Snell & Wilmer



Thomas J. Finn
Reg. No. 48,066

TJF:bf

Enclosures

cc: Ms. Patrice Jacobson (AMEX)